

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SORRELLS *et al.*

Appl. No.: 09/550,644

Filed: April 14, 2000

For: **Method and System for Down-
Converting an Electromagnetic
Signal, Transforms for Same, and
Aperture Relationships**

Confirmation No.: 9317

Art Unit: 2617

Examiner: Bhattacharya, Sam

Atty. Docket: 1744.0010009

Fifteenth Supplemental Information Disclosure Statement

Mail Stop Amendment

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying IDS Forms are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached IDS Forms based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

Applicants provide the following comments regarding the documents:

Documents US1-US3, US9-US12, US28-US32, US38, and NPL1 are co-owned applications and patents which are directed to related subject matter.

Documents US4 and US5 were cited in an Office Action in U.S. Patent Appl. No. 11/802,389, filed May 22, 2007, entitled "Method and System for Frequency Up-Conversion," directed to related subject matter.

Document US6 was cited in an Office Action in U.S. Patent Appl. No. 11/356,419, filed February 17, 2006, entitled "Gain Control in a Communication Channel," directed to related subject matter.

Documents US7 and US8 were cited in an Office Action in related U.S. Patent Application No. 10/197,255, filed July 18, 2002, entitled "Networking Methods and Systems," directed to related subject matter. Also cited in said Office Action were U.S. Patent Publication Nos. 2002/0080728 and 2002/0163921, and U.S. Patent Nos. 5,703,584; 6,591,310; and 6,963,626, which have already been cited in the present application.

Documents US13-US17 were cited in a Notice of Allowance in related U.S. Patent Application No. 11/826,416, filed July 16, 2007, entitled "Method And System For Frequency Up-Conversion With Modulation Embodiments," directed to related subject matter. Also cited in said Notice of Allowance was U.S. Patent No. 5,734,683, which has already been cited in the present application.

Document US18 was cited in an Office Action in related U.S. Patent Application No. 11/015,653, filed December 20, 2004, entitled "Method, System, And

Apparatus For Balanced Frequency Up-Conversion, Including Circuitry To Directly Couple The Outputs Of Multiple Transistors," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 7,082,171; 6,853,690; and 6,687,493, all of which have already been cited in the present application.

Documents US19-US23 were cited in an Office Action in related U.S. Patent Application No. 10/973,917, filed October 27, 2004, entitled "Universal Platform Module And Methods And Apparatuses Relating Thereto Enabled By Universal Frequency Translation Technology," directed to related subject matter.

Document US24 was cited in an Office Action in related U.S. Patent Application No. 11/082,389, filed May 22, 2007, entitled "Method And System For Frequency Up-Conversion," directed to related subject matter. Also cited in said Office Action was U.S. Patent No. 6,112,061, which was already cited in the present application.

Documents US25 and US26 were cited in an Office Action in related U.S. Patent Application No. 11/826,416, filed July 16, 2007, entitled "Method And System For Frequency Up-Conversion With Modulation Embodiments," directed to related subject matter.

Document US27 was cited in an Office Action in related U.S. Patent Application No. 11/292,118, filed December 2, 2005, entitled "Methods and Systems for Utilizing Universal Frequency Translators for Phase and/or Frequency Detection," directed to related subject matter. Also cited in said Office Action was U.S. Patent No. 6,512,798, which was already cited in the present application.

Documents US33-US34 were cited in an Office Action in related U.S. Patent Application No. 11/356,419, filed February 17, 2006, entitled "Gain Control in a Communication Channel," directed to related subject matter. Also cited in said Office Action was U.S. Patent No. 5,483,691, which has already been cited in the present application.

Document US35 was cited in an Office Action in related U.S. Patent Application No. 11/802,389, filed May 22, 2007, entitled "Method and System for Frequency Up-Conversion," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 4,688,237 and 6,112,061, which have already been cited in the present application.

Documents US36 and US37 were cited in an Office Action in related U.S. Patent Application No. 11/390,153, filed March 28, 2006, entitled "Method and System for Down-Converting an Electromagnetic Signal, and Transforms for Same," directed to related subject matter. Also cited in said Office Action was U.S. Patent No. 6,018,553, which has already been cited in the present application.

This statement should not be construed as a representation that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below:

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a

foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.

- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after

making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ c. An Online Credit Card Payment Authorization for the amount of _____ to cover payment of the fee under 37 C.F.R. § 1.17(p) is being transmitted with this filing.

☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after

making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language documents appears below in accordance with 37 C.F.R. § 1.98(a)(3):
- ☐ 7. In accordance with 37 C.F.R. § 1.98(a)(2), copies of the U.S. patents and patent application publications cited on the attached IDS Forms are not enclosed.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).
- ☒ 9. It is expected that the examiner will review the prosecution and cited art in the parent application nos. 09/521,879, filed March 9, 2000 (now abandoned), 09/293,342, filed April 16, 1999 (now U.S. Pat. No. 6,687,493), and 09/176,022, filed October 21, 1998 (now U.S. Pat. No. 6,061,551), in

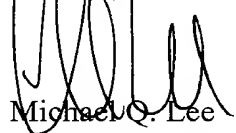
accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution histories has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed IDS Forms, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

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